

# HOW TO MANAGE CIVILIAN EMPLOYEES

## A DESK GUIDE FOR INSTALLATION MANAGERS & SUPERVISORS



**U.S. ARMY FIELD ARTILLERY CENTER AND FORT SILL  
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DIRECTORATE OF CIVILIAN PERSONNEL**

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**Civilian Personnel**  
**HOW TO MANAGE CIVILIAN EMPLOYEES**  
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CHAPTER 1

DIRECTORATE OF CIVILIAN PERSONNEL (DCP)

1-1. WHO TO CONTACT FOR ASSISTANCE. The paragraphs below indicate the areas of functional responsibility within the DCP. Additional information is provided in the following chapters of this pamphlet.

1-2. DIRECTOR OF CIVILIAN PERSONNEL. The director has overall responsibility for the development, review, and implementation of Department of the Army personnel management administration to meet local needs. Personnel management policies, program plans and evaluation, labor-management responsibilities, and personnel management services are carried out under the director's guidance.

1-3. MANAGEMENT SERVICES DIVISION (MSD).

a. RECRUITMENT AND PLACEMENT (R&P) BRANCH. Staffing programs are administered by this branch to provide and maintain the best possible work force for the accomplishment of the Fort Sill mission. Personnel staffing specialists plan and develop local applicant evaluation systems that provide quality candidates from which a supervisor may make a selection. This is accomplished with the assistance of supervisors and employees in the analysis of jobs to obtain information regarding position duties, how these duties are to be performed, and what a candidate must possess to perform these duties. These specialists also advise employees regarding opportunities for advancement, development, relocation, or more suitable occupations.

b. POSITION MANAGEMENT AND CLASSIFICATION (PM&C) BRANCH. A major responsibility of this branch is to advise management on position structure using available resources to the highest potential for efficiency and productivity. Position classification specialists are responsible for providing advisory opinions on the evaluation and grading of positions in accordance with published standards and providing advice to employees and managers on classification complaints and appeals.

1-4. PERSONNEL SERVICES DIVISION (PSD).

a. MANAGEMENT EMPLOYEE RELATIONS (MER) BRANCH. This branch provides supervisors and employees guidance and assistance relating to: performance evaluation; the application of constructive discipline; grievances and appeals; retirement; workers' compensation; management-employee communications; administration of leave; the incentive awards program; personnel policy work-type problems; and employee services.

b. TECHNICAL SERVICES BRANCH (TSB). This branch provides record keeping services in support of all DCP branches; maintains the Official Personnel Folders of all employees serviced by this office; provides information on individual employee benefits; processes and maintains suspense of personnel actions; and collects data used for a number of reports.

c. TRAINING AND DEVELOPMENT (T&D) BRANCH. Personnel of this branch provide guidance, technical advice, and assistance to top management, supervisors, and employees in the areas of job-related training needs; programs such as veterans readjustment, intern, management development, and correspondence courses. Types of training include: executive, supervisory, professional, engineering, scientific, medical, technical, administrative, clerical, trades and crafts, and orientation.

1-5. NONAPPROPRIATED FUND (NAF) BRANCH. This branch is responsible for administration of all personnel functions relating to nonappropriated fund employees. Functions include staffing, position and pay management, technical services, training, and management-employee relations.

1-6. LABOR RELATIONS (LR). LR provides guidance and assistance to management regarding rights and obligations when dealing with unions and represents the commander in contract negotiations with recognized unions.

## CHAPTER 2

### POSITION MANAGEMENT AND CLASSIFICATION

#### OBJECTIVES

- a. Understand your responsibility for ensuring proper classification and effectively managing positions.
- b. Understand your responsibility to plan, organize, and assign duties to various positions.
- c. Ensure that employees are treated fairly and that pay rates have a direct relationship to the level of skill and responsibility of the work assigned and performed.
- d. Ensure that the objectives for which the organization is established will be attained economically and effectively.

2-2. INTRODUCTION. Establishing positions is the first step in the total personnel process. In this chapter we will discuss your roles and responsibilities, as well as the position classification specialist (classifier) in two areas; i.e., position management and procedures in the job description and evaluation process for you to have an understanding of these important aspects.

#### 2-3. DEFINITIONS.

a. Duty. A group of closely related tasks which have the same purpose or which are part of a collective action to produce the same end project. The tasks are likely to be performed in a given sequence and to require related knowledges, skills, and abilities.

b. Major Duty. A major duty is one in which the end product or function constitutes a reason for the existence of the position. In addition, any duty will be considered a major duty if it fits either of the following categories:

It consistently occupies 25 percent or more of the incumbent's time

(2) It is sufficiently different from other major duties to require additional entrance qualifications or extensive post-assignment training.

2-4. POSITION CLASSIFICATION. Job analysis and evaluation is carried out to ensure equitable pay for the level of skill and responsibility required for performance of assigned duties. Management (meaning you, the supervisor) assigns duties and responsibilities which determine the title, occupational series, and grade of the position.

#### a. Job Description.

(1) Positions are established through the medium of a documented job description (DA Form 374 is used for this purpose).

(2) A job description identifies the duties and responsibilities of a position or a group of like positions.

(3) It provides a permanent record which becomes the basis for many determinations and actions, for example, recruitment, promotion, reduction in force, performance evaluation.

(4) A primary use of job descriptions is for classification and pay purposes. It is also used for determining qualifications and establishing performance standards.

#### b. Assigning Duties to a Newly Established Position.

(1) Three basic questions should be answered:

(a) What work will be done?

(b) How will it be done?

(c) Under what controls will it be done?

(2) You can answer these questions for new jobs getting information from a variety of sources, such as:

- (a) Current related job descriptions
- (b) Regulations
- (c) Schedule X and manpower documents
- (d) Standing operating procedures

(3) Information required for establishment of a new position or review of an old position may be divided into two groups of facts:

(a) Facts obtained from location of position, such as: functions of organization, functions of immediate work unit, line of authority in the organization, and flow of work through the unit.

(b) Facts obtained from the position itself, such as: What work is to be done? What is the end product? How is work done, and what personnel contacts are required? And what are the controls?

c. Transition. Preparation of a draft description follows the gathering of the previously discussed information.

d. Guide to Preparation of Draft Job Description.

(1) Be current, factual, and concise. Write all facts necessary, but state them as clearly and concisely as possible.

(2) Be specific. Tell "what" in every instance. Try not to use vague or unclear terms. When using terms such as "assists," "prepares," "participates," or "coordinates," add modifying statements telling what is specifically done or how it is done.

(3) Use modifiers sparingly. A position is an active thing; something is being accomplished. So write your statement of duties mainly with verbs and nouns, and use only a few adjectives and adverbs to clarify.

(4) Use simple descriptive language. A job description must present the same meaning to all who read it. Common everyday language is more effective than highly technical, academic, or lengthy words.

e. Contents of Job Description. Currently, the job descriptions for most Classification Act (GS) employees follow a format of:

- (1) Supervisory controls
- (2) Major duties
- (3) Statement, "Performs other duties as assigned."

Factor Evaluation System (FES) Format

(1) Job descriptions for GS positions covered by FES will also include a list of nine factors to be used in evaluation. The narrative of the nine factors will follow the description of duties.

(2) The nine factors are:

- (a) Knowledge required by the position
- (b) Supervisory controls.
- (c) Guidelines.

- (d) Complexity.
- (e) Scope and effect of work.
- (f) Personal contacts
  - Purpose of contacts
- (h) Physical demands/effort.
- (i) Work environment/conditions.

g. Wage Grade Job Description.

- (1) For wage grade employees, the format includes:

- (a) Major duties.
- (b) Skills and knowledges.
- (c) Responsibility.
- (d) Physical effort.
- (e) Working conditions.
- (f) Statement, "Performs other duties as assigned."

- (2) Identify each task or function required to accomplish the work which needs to be done.

h. Performs Other Duties As Assigned. This phrase covers assignment of those duties that do not meet the major duties criteria but are incidental and directly related to their performance. This includes duties temporarily assigned or assigned only for "one time." Supervisors should avoid the assignment of incidental duties that are inappropriate to the employee's job and qualifications.

1. Identifying Significant Changes in a Position.

- (1) Significant changes:

- (a) Changes resulting in an assigned increase or decrease in responsibility
- (b) Changes resulting in addition or deletion of major duties assigned

- (2) Changes that are not significant:

- (a) Difference in quantity of work produced by employees.
- (b) Temporary change in assignment for training or emergencies due to absence of some employees.
- (c) Changes in organizational level only--for example, changes from section to branch and branch to division that do not affect the degree of supervision received.
- (d) Changes in methods/procedures that do not affect the work product or the skill required to produce it.
- (e) A change in the number of employees supervised when still within the range shown on the job sheet.
- (f) A change in the name of the organization.
- (g) Changes in examples of work shown in the job description, if the new examples are of the same level of responsibility.

2-5. REQUEST FOR PERSONNEL ACTION.

- a. Upon completion of the proposed job description, you should initiate a Personnel Action Request (SF-52) for initial establishment of the job or revision of the existing one.
- b. Submit a SF-52 through your budgeting channels to assure availability of funds.
- c. If the position is to be established or revised as a result of a reorganization, the reorganization must be approved before you submit the request.

RESPONSIBILITY OF THE CLASSIFIER

- a. Upon receipt of the proposed job description, the classifier may conduct a job audit with the supervisor and the employee (if the job is filled) to ensure a full understanding of the facts surrounding the job and ensure that duties are commensurate with the organization's assigned functions. It is important that the supervisor and employee give the classifier all the relevant information pertaining to the job.

The classifier provides advice to management on the evaluation of the position.

2-7. CERTIFICATION.

- a. Upon completion of the final job description, the supervisor is required to sign it, and to certify that the statement of duties does accurately describe the work required in that position or group of positions for which he/she is responsible.
- b. The statement reads, "I certify that this is an accurate statement of the major duties and responsibilities of this position and its organizational relationships and that the position is necessary to carry out Government functions for which I am responsible. This certification is made with the knowledge that this information is to be used for statutory purposes relating to appointment and payment of public funds or their implementing regulations."

- c. The supervisor will certify that the duties and responsibilities are correct as described in the final job description. This may be done before job classification and grade have been entered on the job description.

2-8. JOB EVALUATION.

- a. Job evaluation is the process of comparing jobs to appropriate OPM standards to determine proper grades and to identify basic qualifications (knowledge, skills, and abilities) necessary to perform the job.

- b. Accurate job classification is a statutory requirement and cannot be compromised

- c. Job evaluation is a joint responsibility of management and the classifier. The supervisor assigns duties which determine the classification, and the classifier is responsible for providing advice to management on the evaluation of the position. However, under the new program, Managing the Civilian Workforce to Budget (MCB), designated managers have classification authority and may accept or not accept the classifier's evaluation. If the manager does not accept the classifier's advice, he/she then has the responsibility for evaluating the position in writing.

- d. As a supervisor, you should become familiar with the standards applicable to the jobs you supervise and the basis for their evaluation. Unless you do, you run the risk of creating a number of problems which occur when employees are consistently assigned work above their official grade level.

Appendix A lists factors that count and factors that don't count in evaluation of a position.

2-9. APPEALS AND MACOM EVALUATION DECISIONS.

- a. If an employee is dissatisfied with the classification of his/her position, he/she may submit an appeal.

- 1) A GS/GM employee may appeal directly to OPM

(2) A wage grade employee must appeal initially to his MACOM and then to OPM if the MACOM decision is unfavorable.

(3) Decisions rendered by MACOM and OPM are binding on the position being evaluated as well as all like positions.

b. Management also has the right to request an evaluation decision by a technically qualified classifier at MACOM level.

c. In both of the above situations, a signed job sheet is the prerequisite to the reviewing official's evaluation action.

#### 2-10. FAIR LABOR STANDARDS ACT.

a. The classifier is required to determine whether or not the job comes under the provisions of the Fair Labor Standards Act (FLSA).

b. The FLSA is a law relating to hours of work and the payment of overtime.

c. Item #9 of DA Form 374 is labeled "Fair Labor Standards Act." One of the two small squares in this space will be checked on every Army job description to show whether or not the job comes under the provisions of the act. "Nonexempt" indicates that the position is covered by the FLSA; "exempt" indicates that the position is not covered by FLSA.

d. Supervisors are responsible for controlling the work hours of nonexempt employees, either to preclude overtime work or to make sure the employee is paid for necessary overtime work. Overtime need not be officially ordered or assigned to be payable; if a supervisor permits work to be performed in excess of 40 hours, overtime pay is required.

#### 2-11. POSITION MANAGEMENT.

a. Position management is the process whereby managers and supervisors assign duties and responsibilities to positions and the structuring of these positions to form an organization that provides for effective and economical accomplishment of work. Ensuring an effective position management program is the responsibility of management and the classification specialist.

b. Position management involves consideration of the organizational structure into which the job will be placed, work flow and distribution, and work methods and procedures.

c. Supervisors are required to select position structures (assigning duties to jobs) which accomplish the mission and allow for anticipated contingencies at the lowest payroll cost and which are consistent with other Army policies.

d. Appendix B lists your position management responsibilities.

#### 2-12. SUMMARY.

a. Job classification includes planning, establishing, and executing a program to assure equitable pay treatment for employees who occupy positions established by management action.

b. Your job is to:

(1) Furnish accurate and complete facts on changes in jobs to DCP, Position Management and Classification Branch.

(2) Explain the classification of the job and the Position Management and Classification Program to employees.

c. The classifier will assist and advise you on classification and position management.

d. Both MACOM and OPM may issue classification decisions upon request by employees or supervisors.



CHAPTER 3

RECRUITMENT AND PLACEMENT

3-1. OBJECTIVES.

- a. Describe policies governing employee recruitment at Fort Sill.
- b. Describe requirements for selecting civilian employees.

3-2. INTRODUCTION. Topics in this unit will include the principles of the merit system; the legal basis for hiring; the responsibilities and requirements imposed by Department of Army (DA); the requirements for planning recruitment activity; noncompetitive actions; and the merit promotion process and selection. USAFACFS Regulation 690-8 details specific local policy and supplements regulatory material in the Federal Personnel Manual (FPM), DA, and TRADOC regulations.

3-3. PRINCIPLES OF THE MERIT SYSTEM.

- a. The basic concept of the merit system is that all actions are based on job related criteria. Selecting individuals for appointment, reassignment, promotion, or any other action based on friendship, family relationship, past loyalty, or any other nonjob-related factor is expressly forbidden.
- b. The merit system is designed to ensure that the Government will consider the best qualified candidates, treat its employees fairly, and provide these employees the opportunity to progress to the extent their abilities will allow in line with other recruitment programs. Some cases entitle an employee to a position without competition. Other cases allow him or her to be considered before other applicants. Each case may be different and usually warrants an in-depth analysis by DCP to determine its obligations and requirements before completion of the action. In mandatory placement actions, management's right to select or nonselect is still valid, it is just exercised at a higher command level. Special placement and consideration situations include the following:
  - (1) Employees adversely affected by reduction in force (RIF). Employees affected by RIF are entitled to priority placement based on their assignment rights (this is discussed in greater detail in Chapter 4). Depending on retention standing, employees affected by RIF may be able to displace other employees in their same competitive area. It is not uncommon for at least three to five employees to be adversely affected for each position abolished in RIF as a result of this domino effect. Because this domino effect can significantly affect work operations in several organizations, Federal regulations allow and recommend, but do not require, the use of vacancies to make RIF placement. Fort Sill normally offers vacant positions because it minimizes the adverse impact and lessens the disruption RIF can cause. Although an employee may not generally displace an employee of another command, a vacancy from another command may be used to place the employee under RIF.
  - (2) Reemployment priorities. Both the Office of Personnel Management (OPM) and Fort Sill maintain lists of former Federal employees entitled to employment consideration before other applicants with no prior civil service experience when the vacancy is to be filled from a source outside the agency.
  - (3) Employees with return rights. Installation employees returning from an overseas tour, military service, or duty with an international organization such as the United Nations may exercise their reemployment rights to return to their former position. If the position has been filled during their absence, the position must be vacated by the present incumbent either through reassignment to a vacancy for which qualified or by employing RIF procedures.
  - (4) Department of Defense (DoD) Priority Placement Program (PPP) registrants. Also known as the system "stopper list," this is the primary method of registering DoD personnel scheduled for involuntary separation or downgrade or returning from an overseas assignment and referring them for priority placement at other DoD installations.
  - (5) Occasionally, placement of an individual may be directed by the courts, OPM, DA, the Equal Employment Opportunity Commission, or other appellate functions. Provisions of the placement action will vary from case to case.

(6) Repromotion eligibility. Current Fort Sill employees receiving grade or pay retention benefits because of involuntary demotions (e.g., RIF, correction of classification error, etc.) receive priority consideration for any vacancy up to and including the grade from which demoted, for which they are fully qualified, and for which they request consideration.

(7) Lost consideration. Employees who were denied proper consideration in a promotion action through a valid administrative error may be considered for the next like vacancy at the same grade and for which they are highly qualified.

(8) Disabled for current positions. Employees who become disabled for their current position may receive priority consideration for vacancies for which qualified.

c. Numerous sources of applicants may be considered separately, as a group or in conjunction with competitive procedures. These programs are designed to assist specialized groups of applicants:

- (1) Veteran's Readjustment Appointment (VRA).
- (2) Appointment of compensable disabled veterans (30 percent or more).
- (3) Worker-trainee.
- (4) Co-operative student trainees (Co-Op).
- (5) Handicapped (physical/mental).
- (6) Annuitants restored to working status.
- (7) Family members eligible under Executive Order 12362
- (8) Outstanding scholars under schedule B authority

The above mentioned programs are considered appropriate as additional sources of noncompetitive candidates. The DCP staff can assist you in determining which may serve to surface qualified applicants for your particular vacancy.

d. Other sources. Other sources of applicants may be used to fill your vacancy and may be either competitive or noncompetitive based on each particular case. Sources may include:

- (1) Register of eligibles developed by OPM.
- (2) Register of eligibles developed by DCP through OPM delegation.
- (3) Reassignment from another DA activity.
- (4) Transfer from another agency.

### 3-4. LEGAL BASIS FOR HIRING.

a. Federal personnel policies are established by legislative action or by executive order. Most of these policies are in Title 5 of the United States Code which is kept in DCP.

b. Laws and executive orders are interpreted and implemented by OPM, which is vested with the legal authority to appoint civilian Federal employees, but has delegated this authority to DA. OPM has, however, retained the responsibility for post-audit and review of these appointments.

### 3-5. ARMY'S RESPONSIBILITIES AND REQUIREMENTS.

a. OPM requires each Federal agency to adopt and administer a program which will ensure a systematic means for selection and promotion based on the merit principles presented earlier. In addition, each DA activity is required to have its own merit promotion plan.

This plan is required to contain:

Procedures for promoting employees based on merit

- (2) Areas of consideration broad enough to ensure availability of high-quality candidates
  - (3) Guidelines ensuring that candidates meet minimum qualification standards prescribed by OPM (or be specifically excepted from these standards in special cases).
  - (4) Provisions to allow management the right to select or not to select from among a group candidates.
  - (5) A system of record keeping to allow reconstruction of promotion actions.
- c. DA has further supplemented OPM guidance by adding the following requirements:
- (1) EEO/Affirmative Action goals will be considered when establishing the area of consideration.
  - (2) Selecting officials will document, in writing, their reasons for selection of a particular individual when competitive procedures are followed.
  - (3) Plans must provide for the noncompetitive appointment of candidates eligible for special employment programs (see paragraph 3-3c).

3-6. PLANNING RECRUITMENT NEEDS. Anticipation of future manpower needs can help to decrease hire-lag, keep long-term vacancies to a minimum, and ensure recruitment of the best qualified candidates. There are several things to consider when doing advanced recruitment planning, including:

- a. Previous turnover in an occupation. How many vacancies have occurred in the job in the past few years? What caused these vacancies? How long did it take to fill them?
- b. Known losses that you can start early recruitment on. Do you anticipate any upcoming retirements, resignation, transfers, etc.?
- c. Availability of workers. Are there qualified candidates in the work force or on OPM registers? Are they interested in working in your area?
- d. Current or future hiring constraints. Are there any anticipated RIFs, hiring freezes or transfers of function?

3-7. SOURCES OF CANDIDATES. Once future vacancies have been identified, the manager must consider what method he/she would like to use to recruit high-quality candidates.

- a. Merit Promotion Plan. The source most widely used is the list of candidates developed locally through the Fort Sill Promotion Plan (see paragraph 3-9).

Transfer from another Federal Activity.

Reinstatement of a former Federal employee

OPM registers (or those developed locally under OPM delegated authority).

Special employment programs (see paragraph 3-3c).

3-8. NONCOMPETITIVE ACTION UNDER THE MERIT PROMOTION PLAN. The following actions can be accomplished noncompetitively:

- a. Career ladder promotion. If a position was initially filled below the full performance level through competitive procedures and the promotion potential was made known at the time, promotions to the target level do not require further competition. For example:

Career interns in DA career programs

Upward mobility.

Functional trainees

- (4) Any others provided locally.

b. Temporary promotion or detail up to 120 days.

c. Application of a new job classification standard or correction of a classification error (incumbent must meet requirements for promotion).

d. Consideration of a candidate not given proper consideration in a competitive promotion action (for example, when a candidate was not included on a referral list, but should have been referred).

e. Permanent promotion following a competitive temporary promotion if the following conditions are met:

(1) The possibility of permanent promotion was made known to all candidates at the time of competing for the position.

(2) The area of consideration for the temporary promotion was installation-wide (as required for a permanent promotion).

f. Promotion resulting from the addition of new duties and responsibilities, subject to the following conditions:

(1) No other employees are at the same grade in the unit of the selecting official who are performing duties substantially the same as those performed by the employee prior to addition of the new duties and responsibilities.

(2) The employee continues to perform the same basic functions as in the former position, and the duties of the former position are administratively absorbed into the new position.

(3) The addition of the duties and responsibilities does not cause an adverse impact on another encumbered position, such as abolishing the position or reducing its known promotion potential.

(4) The employee meets all eligibility and qualification requirements for the position.

g. Reassignment (lateral movement) or voluntary change to lower grade to a position with equal or lower promotion opportunity than the one presently occupied.

h. Other noncompetitive exceptions occur from time to time and must be dealt with individually. A more detailed list of exceptions is presented in USAFACFS Reg 690-8.

3-9. MERIT PROMOTION PROCESS. Once the decision has been made to consider applicants through the merit promotion process, several more decisions and actions must be accomplished.

a. To ensure that the legal requirement of all factors used to rate, rank, and select candidates are job-related, the first step in this process is to perform a job analysis. Subject matter experts (SMEs) are asked to assist in determining the key criteria for successful performance of this position, the knowledge, skills, and abilities (KSAs) required to meet the key criteria, and the method(s) to be used to evaluate the applicants against these KSAs. Many different evaluation methods may be used, and two or more must be used to satisfy DA policy.

b. After the criteria are identified, the area of consideration must be determined. Permanent merit promotion actions will normally include the entire installation work force. The supervisor may recommend the area of consideration be expanded based on lack of applicants or other valid reasons. Some positions at certain grade levels, particularly in career programs such as personnel, manpower, etc., require expansion of the area of consideration to ensure an adequate number of quality candidates.

c. Merit promotion announcements are used to publicize promotional opportunities, qualification requirements, and the area of consideration to the work force. Bulletins will have a specified opening date, will tell the candidate what information must be submitted to allow consideration, and will detail the qualification requirements necessary to gain eligibility. Applicants must read these bulletins completely and follow instructions carefully. Documentation requested by the announcement is done for a specific reason (see a above). Failure to provide the necessary information may reduce or even eliminate the employee's chances of being promoted.

d. Referring candidates for consideration is normally given in these stages either by the DCP staffing team, one or more SMEs, automation (based on the candidate's current and past history), or a combination of the three.

(1) Initial ratings are performed using minimum qualification standards established by OPM. These standards are usually expressed in specific demonstrated experience for blue collar jobs and in specific number of years of experience/education for white collar jobs. The initial screening determines if an applicant is eligible based on time-in-grade restrictions, time after competitive appointment requirements, and other basic qualification determinations.

(2) All candidates meeting the initial requirements are evaluated against the specific KSAs developed through the job analysis. This evaluation is accomplished using a crediting plan that distinguishes superior from acceptable level of possession based on experience, education, or training in the specific knowledge, skill, or ability. For example, a KSA element "Ability to maintain organizational files" might give maximum credit to a secretary who is keeping office files and has attended the Army Functional Filing System class. A lower level on the crediting plan might allow for an individual who maintained office files for a private firm but had no experience with military filing procedures. The definition of these levels is evaluated for each vacancy and, as long as they are job related, is used to further screen the minimally qualified candidates.

(3) The job analysis process determines what levels the candidates must meet in the KSA process to be rated as best qualified. Once these candidates have been identified, they are referred to the selecting official.

### 3-10 SELECTION.

a. The best qualified candidates are normally referred in alphabetical order to the supervisor, indicating that the merit evaluation cannot further distinguish among these applicants. The selecting official has the responsibility to consider these candidates and select (or nonselect) applicants based on certain guidelines.

(1) Candidates referred through the merit promotion process are to be treated equally. That is, if one candidate is interviewed, efforts should be made to interview them all. If the supervisor reviews the Official Personnel Folder of one, he/she should look at them all. If there are reasons that preclude equal treatment (such as extended illness precluding interview, etc.) DCP should be contacted for specific guidance.

(2) The supervisor is required to be aware of the Affirmative Action Plan and goals for the installation and to consider these goals during the selection process.

(3) The supervisor is required to provide specific, written reasons for his/her or her selection. The reason(s) must show that the selection was based on job-related criteria.

b. Upon receipt of the above, DCP will notify the chosen applicant of the selection and will establish the date he/she is to report to the new position. Normally, the effective date will be the beginning of the second pay period after official notification.

CHAPTER 4

REDUCTION IN FORCE (RIF)

4-1 OBJECTIVE. To describe the basic procedures and responsibilities involved during a RIF

4-2 POLICY

a. DA and Fort Sill will avoid a RIF when possible. Management will take appropriate actions to minimize the impact of required reductions.

b. Employees and employee organizations will be informed of firm plans and specific details of reductions in force as soon as possible consistent with security limitations and good management principles.

4-3. WHEN ARE RIF PROCEDURES USED? RIF is used when employees are to be released from their competitive level (in other words, forced out of a current position) by separation, demotion, or reassignment. This release is usually due to lack of work, shortage of funds, planned reorganizations, or the exercise of reemployment or restoration rights. Generally speaking, employees' current positions are abolished and/or employees are displaced by employees with higher retention standing whose positions are abolished.

4-4. RESPONSIBILITIES. Management officials and supervisors determine when reductions in personnel must be made, the areas and functions where positions are to be eliminated, and the specific positions to be eliminated. DCP is responsible for conducting the RIF once the management decisions are made.

4-5. PROCEDURES.

a. Positions are assigned to a specific competitive area based upon established geographic and/or organizational considerations. Normally, a competitive area is restricted to a certain command, e.g., TRADOC, Health Services Command, USA Troop Support Agency, USA Information Systems Command, etc. However, the servicing agreement between the serviced command and the servicing activity may specify something different. Within each competitive area, positions are assigned to specific competitive levels. Competitive levels are assigned to positions when they are first established and/or whenever a position is significantly revised. The competitive level assignment is made by a position classification specialist. Management officials and/or functional experts may be called upon to provide additional information required to determine the appropriate competitive level of a position. When a position is given a competitive level that is also assigned to other positions, it means that they are so similar in all important aspects that movement from one position to another can be readily accomplished without significant training and without unduly interrupting operations. Positions assigned to a particular competitive level are always in the same competitive area; pay category (e.g., GS, WG, etc.) at the same grade level; have basically the same minimum qualifications requirements, including unique requirements; and have the same work schedule (e.g., full-time, part-time, intermittent).

b. When RIF is required, a retention register is prepared which includes all employees within each competitive level affected. Each employee's standing in the retention register is based on his/her tenure of employment, veteran preference, length of service, and official performance ratings that are creditable for RIF purposes. The basic outline of a retention register is given below. Employees are listed within each subgroup based on length of service which is adjusted to reflect extra credit for performance (e.g., 20 additional years for exceptional rating, 16 for highly successful, 12 for fully successful). It should be noted that the term "veteran" as defined in RIF regulations generally excludes retired military personnel. Release of employees from a competitive level is done in reverse order (lowest category first) with Group I, subgroup AD being the highest category.

(1) Group I - Career employees not serving probation.

(a) Subgroup AD - Veterans with service-connected disability of 30 percent or more

(b) Subgroup A - All other veteran preference eligibles.

(c) Subgroup B - Nonveteran preference eligibles.

(2) Group II - Career conditional employees, and career employees serving probation. These employees are divided into subgroups as in group I above.

(3) Group III - All other non-temporary employees broken down into the same subgroups as group I above.

c. The right of an employee to a position offer under RIF is based upon very complex procedures. The commonly used terms concerning basic placement rights are "bumping" and "retreat." Bumping is the displacement of one employee by another employee in a higher group or subgroup. Retreat is the displacement of an employee in the same subgroup but with lesser length of creditable service by an employee who formerly occupied the position or an essentially identical position.

d. If there are two or more positions at the same grade level which an employee could be offered, DCP determines which position to offer the employee. The result of the declination of an offer is usually separation (or retirement if the employee is eligible).

e. An employee may displace another employee with lower retention standing even though they may be in different organizations or pay plans as long as they are in the same competitive area and the employee doing the displacing is well qualified for the position (e.g., a TRADOC employee may displace another TRADOC employee at the installation, but may not displace a MEDDAC employee, and vice versa). If vacancies are used to make RIF placements, they may be in the same or different competitive area.

f. Employees affected by RIF will receive an advance written notice of at least 60 days. The notice will indicate the employee's rights and placement offer, if any. The notice will also indicate who the employee should contact for additional information.

4-6. PROGRAMS TO AID EMPLOYEES. Programs exist to aid employees who are separated or changed to lower grade as a result of RIF. Among these are: Retained Grade and/or Pay; DoD Priority Placement Program; Repromotion Eligibility; Displaced Employee Programs; Reemployment Priority; Eligibility for Severance Pay; and Eligibility for Discontinued Service Retirement. Eligibility requirements for these programs and employee rights under these programs will be explained to any employee adversely affected by RIF.

## CHAPTER 5

### DISCIPLINE

#### 5- OBJECTIVES

- a. Describe the legal regulatory and procedural requirements for administering formal disciplinary actions.
- b. Identify some causes for behavior which require corrective measures and ways of dealing with such problems constructively.

Develop greater skill in communicating with employees and maintaining discipline

- d Apply principles of constructive discipline to selective problems

The objective of discipline at Fort Sill is to motivate employees to maintain reasonable standards of conduct.

5-2. INTRODUCTION. Topics in this unit will include recognizing disciplinary situations, informal disciplinary actions, formal disciplinary actions, selection and implementation of disciplinary actions, and requirements for initiating and processing disciplinary actions. Consultation with the Management Employee Relations (MER) Branch is essential to ensure that necessary documentation is available and that proper procedures are followed. The local regulation which governs Fort Sill civilian disciplinary procedures is USAFACFS Regulation 690-3 (Civilian Personnel Adverse Actions). Copies may be obtained by contacting MER. Supervisors are responsible for maintenance of discipline and initiation of disciplinary actions based on employee conduct or performance.

#### 5-3 RECOGNIZING DISCIPLINARY SITUATIONS.

a. A clear distinction is usually made between two kinds of personnel problems: those requiring disciplinary action and inadequate or inefficient performance stemming from lack of skill, training, or ability. Disciplinary action is normally not appropriate for inadequate performance. A performance counseling session and a performance improvement period are appropriate in such a case. If the employee fails to meet performance standards during a performance improvement period, appropriate action should be taken to reassign, downgrade, or remove the employee from the position.

b. When infractions stem from undesirable habits or improper attitudes of the employee, such habits or attitudes can sometimes be corrected only by appropriate disciplinary measures. Some of the infractions which frequently require disciplinary action are:

- (1) Insubordination
- 2 Flagrant violation of administrative regulation
- Unsatisfactory attendance
- 4 Repeated tardiness
- (5) Drinking intoxicants or being intoxicated on the job
- (6) Theft

#### 5-4. INFORMAL DISCIPLINARY ACTION

a. The first step to take in an informal disciplinary action is an oral warning. As a general rule, such actions are taken by the supervisor on his/her own initiative in situations involving minor violations of a rule, regulation, or policy. Of course, if the violation is severe, the supervisor may go directly to a formal disciplinary action. The discussion should be held in private. The employee should be advised of the specific infraction, exactly when it occurred, and allowed to explain his/her conduct. The supervisor should make a note or memorandum of the discussion, to include the incident, employee's response, and any warning as to future consequences, if applicable.



b. The major factor in informal disciplinary actions should be good communication between supervisor and employee. Be sure the employee understands that the action taken is solely for the purpose of correcting unacceptable behavior and preventing the need for more drastic corrective action.

#### 5-5. FORMAL DISCIPLINARY ACTION.

Formal disciplinary action will take one of the following forms

(1) Written reprimand (recorded in employee's OPF for a minimum of 1 year to a maximum of 3 years)

(2) Suspension.

(a) Places the employee in an involuntary nonduty and nonpay status

(b) Is a permanent document in the OPF.

(3) Removal.

(a) Is the most severe disciplinary action available to the supervisor.

(b) Should be considered only for acts or circumstances of a flagrant nature, such as criminal activities or repeated misconduct where previous disciplinary actions have failed to correct the behavior.

b. Since these actions are adverse to the employee, the employee must be afforded certain job protection rights. The specific rights vary according to the employee's status and the nature of the action proposed. For permanent employees in the competitive service not serving in a probationary period, these rights generally entitle the employee to:

(1) A notice of the proposed action.

(2) The opportunity to reply and to have the reply considered.

(3) The right to a written decision.

(4) The right to file a grievance under the applicable grievance procedure within the DA or to appeal to the Merit Systems Protection Board (MSPB), but not both.

(5) The right to representation (afforded to all employees regardless of status)

The supervisor should contact MER, DCP, before initiating such actions to ensure that the proposed penalty is appropriate, the proper procedures are followed, and necessary documentation is available. The supervisor may initiate formal disciplinary actions, but such actions may not be accomplished without coordination with the MER Branch.

#### 5-6 SELECTION AND IMPLEMENTATION OF DISCIPLINARY ACTION.

a. When it is necessary to take formal disciplinary action, you must select and propose the appropriate adverse action. The action taken should be the least severe necessary to bring about the desired correction. If you can accomplish corrective action through closer supervision or oral admonitions or warnings, you should stop short of proposing formal disciplinary action. In proposing disciplinary action, like penalties should be proposed for like offenses. Deciding officials must be as consistent as possible when deciding on disciplinary action. Appendix A in USAFACFS Regulation 690-3 contains the DA Table of Penalties which serves as a general guide in proposing disciplinary action, to ensure like penalties for like offenses throughout DA.

b. A deciding official may not make a decision to impose disciplinary action without listening to the employee's point of view, considering mitigating circumstances, observing the frequency of the offense, and knowing whether the action is just in the particular situation. For example, misconduct on the part of an employee in a lower grade would be less severe than a like offense by a supervisory employee or a person in a high management position.

c. Constructive discipline, to be effective, must be timely. Corrective results to be achieved through disciplinary means decrease in proportion to the amount of time between the offense and the corrective action. Supervisors should not be reluctant or fail to act when they note the first instance of behavior which reflects the need for corrective action. Often a supervisor will wait until the acts have occurred many times and then will attempt to take a more severe action than would have been necessary if action had been taken earlier. If this occurs, the action probably will not be supported in a grievance or appeal.

5-7. REQUIREMENTS FOR INITIATING AND PROCESSING ACTION. The first step in any adverse action involves a fact-finding process to determine whether the proposed action is justified. When the facts are established, the supervisor should contact the MER Branch. An employee relations specialist from DCP will provide regulatory advice and recommend appropriate penalties. If this recommendation is adopted, the specialist will construct the allegations in writing to guard against deficiencies that may violate job protection rights of employees and, therefore, cause procedural reversals. The proposed action may be coordinated with the Staff Judge Advocate. The proposal letter will be prepared for the supervisor's signature and should be delivered to the employee by the employee's supervisor. Normally, the appropriate commander, director, or heads of special staff will serve as the deciding official for all adverse actions proposed within their organization. This responsibility may be delegated to the deputy or assistant director level, but in all cases, the deciding official must be at a higher level of authority than the proposing official, unless the proposing official is a commander or general grade officer. The assigned MER specialist will assist the deciding official in preparing the decision letter to ensure compliance with as many regulatory requirements as possible under the circumstances.

CHAPTER 6

GRIEVANCES

6-1 OBJECTIVES

- a. Describe DA procedures for dealing with employee grievances.
- b. Describe effective ways to prevent grievances.

6-2. INTRODUCTION. Topics in this unit will include grievance systems, informal and formal grievance procedures, negotiated grievance procedures, and avoiding grievances. Information contained in this chapter is based on AR 690-700, Chapter 771. A grievance procedure has been established within Fort Sill to permit employees to air and seek resolution of dissatisfactions relating to their employment in a prompt and businesslike manner. A grievance has been defined as a request by an employee or group of employees for personal relief in a matter of concern which is subject to the control of agency management. The aim of the supervisor is to develop a basic understanding of the rationale, the underlying policies, and the procedural steps for implementing the grievance system.

6-3. GRIEVANCE SYSTEMS. Fort Sill has two established grievance procedures

- a. DA Grievance Procedure. The regulation states that DA employees will be treated fairly and equitably in all respects. It also says employees have a right to present their grievances to appropriate management officials for prompt consideration and equitable decision. These rights are guaranteed to U.S. citizen civilian employees who are paid from appropriated funds.

- b. Negotiated Grievance Procedure. The provisions of this grievance procedure are prescribed in the local labor-management agreements (NFFE and Teamsters). In organizations where there is exclusive recognition of a labor organization and negotiated grievance procedures are in effect, employees will not follow the DA grievance system. They must file grievances according to the provisions of the negotiated agreement. Most employees at Fort Sill are part of a recognized bargaining unit and, therefore, must use the negotiated grievance procedure. Copies of negotiated agreements may be obtained by contacting the MER Branch, DCP.

6-4. INFORMAL GRIEVANCE PROCEDURE

- a. Regardless of the procedure used (DA or negotiated), the first step normally is for the employee to talk to his/her supervisor about the problem. If the matter cannot be resolved, the employee may request the second step. The supervisor must arrange a discussion of the matter between the employee, his/her representative (if any), the supervisor, and a higher level manager who has the authority to make a decision on the matter.

- b. In most instances employees are required to use the informal process before proceeding to the formal procedure. However, some grievances may be filed formally without going through informal procedures to include:

- (1) Request for withdrawal of a letter of reprimand
- (2) Grievances stemming from suspension of 4 days or less
- (3) Grievances over management-directed reassignments
- (4) Grievances involving dissatisfaction with employee performance ratings

FORMAL GRIEVANCE PROCEDURE.

- a. The third step of the grievance process (for employees not covered by a labor-management agreement) is the submission of a written grievance to the official designated to receive the grievance for the commander (usually DCP). If the official is not able to resolve the grievance, the matter is referred to the U.S. Army Civilian Appellate Review Agency (USACARA) for investigation and recommendation. However, every reasonable effort should first be made at the activity level to resolve the grievance to the employee's satisfaction before referring the matter to USACARA under the DA procedure or arbitration under the negotiated procedure.

b. If the USACARA investigation finds that there have been regulatory or procedural defects requiring reversal of the action causing the grievance, the examiners will direct that the action be reversed. Such a decision is final and binding on the commander. Any other conclusions of USACARA's inquiry are submitted as recommendations to the commander. The commander's alternatives are as follows:

(1) Accept the USACARA recommendation

(2) Grant relief sought by the employee without regard for the examiner's recommendation.

(3) Reject the examiner's recommendation altogether. If rejection is to the detriment of the grievant, the commander must refer the matter to the major commander (TRADOC) for final decision.

6-6. NEGOTIATED PROCEDURE. Employees covered by a grievance procedure in a negotiated agreement between an activity and an exclusively recognized labor organization must present their grievance as prescribed in the local labor-management agreement.

6-7. AVOIDING GRIEVANCES. Day-to-day discussion between employees and supervisors about working conditions and other employment matters are the best means of conducting effective work relationships. The following tips are provided as effective ways to avoid complaints:

Be alert to the potential causes of grievances

b. Correct minor irritations promptly.

Keep promises to employees.

d. Give reasons for your orders unless they are obvious.

Let employees know how they are getting along on the job.

f. Be consistent unless there is an obvious reason for change.

g. Act as soon as possible on requests by employees. Whether the action is to grant or deny the request or refer to higher authority, inform the requester without delay.

h. Avoid showing favoritism.

i. If corrective action must be taken, do not make a public display of the disciplinary talk or action.

j. Consult DCP for guidance and assistance as soon as a problem arises or if you have doubt about how to handle an employee complaint.

CHAPTER 7

WORK SCHEDULING AND LEAVE ADMINISTRATION

7-1 OBJECTIVES.

a Describe the supervisor's responsibilities for administering employee work schedules.

b. Describe the supervisor's responsibilities in administering employee leave and attendance.

7-2. INTRODUCTION. Topics in this unit will include hours and tours of duty, administration of annual and sick leave, and leave without pay. The local regulation which governs Fort Sill civilian employees' hours and tours of duty is USAFACFS Regulation 690-5 (Hours of Duty). USAFACFS Regulation 690-16 (Leave and Attendance) prescribes the requirements specified by statute and other authorities for the administration of leave. Copies may be obtained by contacting the MER Branch, DCP.

7-3. HOURS OF DUTY

a. The regular tour of duty for Fort Sill is 0730-1600 with one half hour for lunch or 0730-1630 with 1 hour for lunch, Monday through Friday. Authority for establishing and changing the tours of duty of civilian employees is delegated to major activity directors, subordinate commanders, and heads of special staff sections. This authority may be redesignated to lower management officials within the activity.

b. In establishing or changing tours of duty, the following requirements will be observed:

(1) FS Form 143 (Tour of Duty) will be prepared documenting the establishment or change of tour of duty, signed by the designated approving official, and forwarded to Finance and Accounting.

(2) Employees will normally be notified at least 2 weeks in advance of the change.

(3) Whenever possible, 2 consecutive days off will be provided.

(4) The tour will cover a minimum of 40 hours for all full-time employees

7-4. ANNUAL LEAVE.

a. As supervisor, you have the right and responsibility to decide when annual leave may be taken.

b. To permit employees to take sufficient leave during the year to prevent forfeiture, a leave schedule should be prepared as early as practicable and no later than 1 April of each year. Employee desires as to time for taking leave will be considered, if possible. The controlling criteria, however, will be workload and operational necessity. It may be necessary to cancel scheduled leave because of work situation demands which would result in an employee forfeiting annual leave. Provisions for restoration of forfeited annual leave is included in USAFACFS Regulation 690-6 and CG Policy Memo 89-14, 31 July 1989.

c. When employees can be spared from their duties, annual leave should be freely granted for personal or emergency reasons.

d. Employees earn annual leave at the rate of 4, 6, or 8 hours per pay period (each weeks) depending on their length of service.

7-5. SICK LEAVE.

a. Employees accrue sick leave at the rate of 4 hours per pay period without regard to length of service.

b. Supervisors are responsible for determining in individual cases that the reason for absence warrants the granting of sick leave. Whenever it is found that an absence does not warrant the use of sick leave, it may be charged to annual leave, leave without pay, or if such absence was not authorized, AWOL.

Sick leave is for use by employees in any of the following situations

- (1) The employee is physically incapacitated for work.
- (2) The employee has an appointment for dental, medical, or optical examinations or treatment. Employees should request and obtain approval in advance.
- (3) Medical authority determines the presence of a contagious disease in the employee's immediate family and the employee's dependent requires his/her personal care.
- (4) The employee has been exposed to a contagious disease that might endanger the health of coworkers.

d. Normally, an absence of 3 working days or less requires only the employee's personal certification. If the absence is more than 3 days, the employee should furnish a properly executed medical certificate.

e. A maximum of 30 days (240 hours) of advanced sick leave may be granted to deserving employees. Provisions for granting advanced sick leave are contained in USAFACFS Regulation 690-6. The authority to approve advanced sick and annual leave is delegated to commanders, directors, and heads of special staff.

f. The abuse of sick leave privileges constitutes misconduct and is, therefore, cause for disciplinary action. In instances of suspected sick leave abuse, a sick leave record should be maintained to show the pattern of use. If the supervisor determines that sick leave abuse is present, he/she can require the employee to provide a medical certificate for each sick leave absence. Such action should be coordinated with the MER Branch.

#### 7-6. LEAVE WITHOUT PAY

a. Leave without pay (LWOP) is a temporary nonpay status and absence from duty which may be granted at the employee's request. Periods of LWOP not to exceed 30 days may be granted by supervisors or operating officials. Requests for LWOP in excess of 30 days must be submitted on SF 52 (Request for Personnel Action) together with the employee's request for leave to DCP.

b. Request for LWOP should be examined closely to ensure that the value to the Government and the needs of the employee are sufficient to offset the costs and administrative inconveniences to the Government. In cases where the departing employee is a dependent of a military member that is being transferred by DA, special considerations are outlined in AR 690-990-2, Book 630, subchapter 12.

CHAPTER 8

INCENTIVE AWARDS

8-1. OBJECTIVE. Identify categories for recognizing and rewarding civilian employees.

8-2. INTRODUCTION. Using incentive awards and other employee recognition is a responsibility of the supervisor. The awards program covers various types of recognition aimed at motivating employees and rewarding quality performance. These recognition measures include honorary and monetary awards. Improper use of incentive awards, either intentionally or because of oversight, could result in suspicion of inequity among employees and, therefore, could lower morale and decrease efficiency and production. Information contained in this chapter is based upon DA's guidance in AR 672-20. Copies of USAFACFS Pam 672-1, a local guide to assist supervisors with incentive awards, may be obtained by contacting the DCP incentive awards administrator.

8-3 POLICY.

a. The Incentive Awards Program (IAP) is administered as a part of the Civilian Personnel Program.

b. All levels of command will endorse and support the program to assure

(1) Appropriate and consistent use of the various types of incentive awards

(2) Effective use of recognition devices

(3) Full consideration of eligible Army employees for awards sponsored by other Federal and nonGovernment organizations.

8-4. INCENTIVE AWARDS.

a. The Army IAP provides recognition by offering monetary or honorary awards to provide employees an incentive for continuing to do their jobs at an efficient level.

Monetary awards are as follows:

(1) The Special Act Award is given to recognize a meritorious personal effort, art, service, or scientific achievement performed within or outside assigned job responsibilities. It ranges from \$25 to \$5,000 with commanders and directors given approval authority up to \$1,500. Awards of \$1,501 to \$5,000 are approved by the CG. All wage grade (WG) and general schedule (GS) employees are eligible.

(2) The Performance Award (PA) consists of a monetary award and a commendation certificate (DA Form 2443) is given in recognition of high-level performance significantly above that ordinarily found in the concerned position. All WG and GS employees are eligible.

(3) Quality Step Increases (QSIs) consist of an additional within-grade-pay increase and a commendation certificate (DA Form 2443) given in recognition of high-quality performance significantly above that ordinarily required to accomplish the duties of the concerned position. Only GS employees are eligible for QSIs.

(4) An on-the-spot cash award is a small monetary award (\$25 to \$250) given for an unusual one-time achievement. Both GS and WG employees are eligible.

c. Honorary awards which are most frequently granted at Fort Sill are as follows:

(1) A certificate of achievement (DA Form 2442) may be granted by major or activity commanders.

(2) An achievement medal for civilian service (includes DA Form 5654 and a decoration set) is given for noteworthy achievements of a lesser degree than that recognized by the Commander's Award. It is approved by activity major directors or commanders.

(3) The Commander's Award for Civilian Service consists of a medal, lapel pin, and Commander's Award for Civilian Service certificate (DA Form 4689). Eligibility will be determined by measuring contributions to the activity against the level of achievement. The Commanding General, Fort Sill, is the approving official for this award for Fort Sill TRADOC employees. Tenant activities will obtain approval through their headquarters.

(4) DA civilian employees are awarded career service pins and length of service certificates for completing 10, 15, 20, 25, 30, 35, 40, 45, and 50 years of Federal service. A certificate only is granted for 5 years.

8-6. DCP RESPONSIBILITIES.

- a. Provide program leadership to implement the local IAP.
- b. Provide training, guidance, and assistance to management and incentive awards committees.



CHAPTER 9

EMPLOYEE PERFORMANCE STANDARDS, EVALUATION, AND APPRAISALS

9-1. GENERAL. Performance evaluation is the continuing process by which a supervisor makes an assessment of the employee's past performance. The evaluation is used in making personnel decisions, i.e., training, granting awards, granting pay increases, reassigning, promoting, retaining in RIF, reducing in grade, and removing the employee. Objectives of evaluating employee performance are:

Improve the performance of both the individual and the organization.

b. Furnish a sound and continuing basis for effective supervisor-employee relationships.

c. Ensure the periodic rating and recording of the quality of the overall performance of every employee.

d. Ensure that every employee is informed of the requirements by which his/her performance is judged and of his/her current appraisal.

To assure that ratings are fair and objective.

9-2. PROBATIONARY PERFORMANCE APPRAISALS.

a. The probationary period is generally the first year after appointment and is a critical period. New employees must be fully observed and appraised during the probationary period to determine whether they have the qualities needed to become satisfactory career employees. The appraisal must be completed and recommendation forwarded to DCP between the beginning of the ninth month and the end of the tenth month of employment.

b. Employees initially appointed or assigned to supervisory or managerial positions must complete a 1-year probationary period. This probationary period is in addition to the period served upon initial appointment into the Federal Service. Should the employee be recommended during probation for return to a nonsupervisory or nonmanagerial position, he/she is entitled to a position of no lower grade and pay than the one from which promoted.

9-3. ANNUAL PERFORMANCE APPRAISAL. Civilian employees assigned to or supported by the Fort Sill DCP are rated annually in their birth month. The annual rating period begins on the 15th day of the employees' birth month and ends on the 14th day of their birth month 1 year later. Annual ratings should be completed, approved, and forwarded to DCP not later than 45 days after the end of the employees' rating period. Supervisors are encouraged to review AR 690-400, Chapter 430, for additional information on the Performance Management System.

CHAPTER 10

TRAINING AND DEVELOPMENT

OBJECTIVES

- a. Describe the supervisor's responsibilities for training employees
- b. Describe sources of training needs, how such needs can be met, and what the supervisor should do to meet them.

10-2. INTRODUCTION. Topics in this unit will include identifying training needs; deciding how to meet training needs; and providing and evaluating training. Consultation with your organization's training coordinator and the DCP Training and Development (T&D) staff is essential to the accomplishment of the necessary training planned for your activity. The local regulation which governs Fort Sill civilian training is USAFACFS Regulation 690-12 (Civilian Personnel Training Policies and Procedures). A major part of the information contained in this regulation is based upon DA's guidance contained in AR 690-400, chapter 410.

10-1. IDENTIFYING TRAINING NEEDS

a. A commonly asked question is, "When do I know a training need exists?" Training needs show themselves in varied ways. Although assessment of training needs is a continuous process, the best indicator will be the employee's performance appraisal. Part III of the appraisal, known as the Individual Development Plan, is used to identify and document training which the employee has completed and/or is projected to complete in the future. This should be the primary document used to identify such needs. Each year, the T&D Branch conducts a civilian training needs survey which supplements the IDP. DCP has prepared two concise pamphlets which assist supervisors and employees in preparing Individual Development Plans (USAFACFS Pamphlets 690-3 and -2, respectively). Copies of these publications may be obtained by contacting the T&D Branch.

b. There are several types of training needs

(1) Needs that are inherent in specific situations

(a) New employee job orientation

(b) New equipment.

(c) New procedures.

(2) Needs shown in performance:

(a) To make a good employee better.

(b) To maintain present performance

(c) To overcome deficiencies.

(3) Needs for future performance

(a) Career plans

(b) Personal goals.

(c) Mobilization assignments.

DECIDING HOW TO MEET TRAINING NEEDS

a. Almost every new employee requires some degree of training. Good supervisors are alert to these needs and systematically plan to meet them. The primary purpose of our training program is to develop a work force of civilian employees who are fully trained and capable of carrying out their part of Fort Sill's mission in the most efficient and productive manner. There are several possible variations of accomplishing training.

(1) Job-Related Training. Essential training will be provided to employees at all occupational levels. As a minimum, training will be presented to each employee on the job to develop maximum proficiency and skills needed to do his/her job. Opportunities may also be made available for cross-training in other duties, attendance at various group on-site courses, or training at Government expense away from Fort Sill based upon the needs of the employee and the installation. Selection of employees for training will be made without regard to race, sex, color, creed, political or other affiliation, marital status, national origin, age, or physical handicap. All new employees will receive a formal orientation to discuss his/her responsibilities, the installation and its mission, the role of DCP, and other essential information about Federal employment. The most common forms of job-related training include formal classroom instruction, on-the-job training (special assignments, coaching, details, etc.), and correspondence course programs explained in detail in (2)(a) below.

(2) Self-Development Training. All employees should be actively encouraged to participate in useful training activities, and are supported in their own efforts for training to raise their general knowledge, skill, and ability levels. For those who wish to pursue a course of self-development, a number of opportunities are available:

(a) Correspondence courses covered in DA Pamphlet 351-20 offer an excellent source of self-improvement for all employees. Hundreds of courses are offered by Army extension schools in areas such as data processing, management, maintenance, communication, resource management, effective writing, technical courses, instructional methods, and many, many more. Any employee who meets the course eligibility criteria may enroll. Participation is voluntary and there is no cost to the student. Other institutions such as Office of Personnel Management, International Correspondence School, and selected colleges and universities offer additional subjects through correspondence.

(b) A variety of college courses, both at undergraduate and graduate level, are offered by educational institutions through facilities of the Army Education Center (AEC). For example, the University of Oklahoma offers employees the AEC bachelor and master of liberal studies programs, and in the advanced programs, degrees in economics, public administration, educational psychology, and communications. Additionally, AEC presents courses in English, social science, general science, and mathematics which may prepare students for the General Education Development (GED) tests. Successful GED testing thus permits an employee to obtain a certificate of high school equivalency.

(c) A wide range of courses is offered by many area colleges and universities, including Cameron University in Lawton. Cameron has more than 50 undergraduate and several masters degree programs. Because of the travel and per diem savings, Cameron is an excellent option to consider when planning to meet training needs. To accommodate the needs of students, a large number of classes are offered at nights and on Saturdays, as well as during the day. Enrollment information can be obtained by contacting the Cameron University Business Office.

(d) Several state-operated vocational-technical schools are located in the commuting area. The Great Plains Area Vocational-Technical Center in Lawton provides a myriad of training opportunities including business skills, computer courses, health programs, home and hobby training, marketing and management skills, and, of course, technical and industrial trades. Contact the school for further details. Announcements are normally made in the newspaper pertaining to class schedules.

(e) Membership and participation in organizations such as Toastmaster or Toastmistress clubs, civic organizations, or any other group activity that contributes to learning and understanding are encouraged.

(3) On-Site Training. Many training courses are offered in the DCP Training Center, Building 207. These courses are generated as a result of the annual training needs survey and may be live, platform instruction; video tape; or a system of satellite-hosted classes. Check with your organization's civilian training coordinator for specific dates of upcoming training courses.

b. When classroom training is selected, we suggest consulting with your training coordinator to determine the most cost-effective method. All of the above methods have distinct advantages which you will want to consider.

c. Discussing your plans with the training coordinator and the T&D staff is important not only to obtain the most appropriate training to meet your employees' needs, but also to assure compliance with a variety of requirements and limitations. For example, there are a number of conditions and restrictions related to training by nonGovernment sources, including:

- (1) Requirements of official approval (T&D chief) in advance of enrollment or payment
- (2) and per diem
- (3) Limitations on the amount of such training
- (4) Selections of institutions

d. Additionally, it is important to obtain quotas sufficiently in advance for many Government courses. In some instances, training which has been properly identified and reflected on the Annual Training Needs Survey can be given on site and thus eliminate the need to send employees off site. By doing so, Fort Sill is able to realize a significant cost avoidance.

#### PROVIDING TRAINING

a. In any successful program, planning and implementation are critically dependent upon each other. It is no different with training. While you may have an effective method to identify and determine how you are going to meet training needs, an essential ingredient of the training cycle is to assure that training is actually conducted. This should be done by a joint effort of the supervisor, training coordinator, and the T&D staff. Generally, the T&D staff will arrange for classroom and audiovisual scheduling for most on-post courses and making other arrangements listed in 10-4 above. The supervisor's responsibility is to make sure the employee's training plan is followed. For instance, if you are providing OJT at your workplace, you should plan for selecting and preparing the proper trainer; develop the content, sequence, and timetable of training; and most importantly, use the plan as a guideline to achieve necessary training.

b. Supervisors who approve individual development plans and/or training requests have an obligation to release their employees for training and, in some cases, to provide mission funds to support tuition and travel costs. If release of an employee at a particular time would seriously hinder mission accomplishment, notify your training coordinator immediately so he/she can arrange for cancellation or substitution to avoid loss of advance payment and quota spaces.

c. The form used at Fort Sill to document civilian training is the DD Form 1556 (Request, Authorization, Agreement, and Certification of Training and Reimbursement). Specific instructions on the use of the forms are contained in Appendix D of USAFACFS Regulation 690-12.

d. AR 690-400, Chapter 410, requires company grade, warrant, and noncommissioned officers to attend supervisory development training (known at Fort Sill as "Managing the Civilian Workforce" class) within 6 months after appointment to a supervisory position. When requested, efforts are made to include field grade officers in the 40-hour block of instruction. Course quotas may be obtained by writing or calling the T&D Branch.

#### 10-6. EVALUATING TRAINING

a. The final cog in the "wheel" of training is that of evaluation. Each year, Fort Sill spends several hundred thousand dollars to train and develop the civilian work force. Therefore, it is crucial that we determine the value of completed training and the extent to which improved operations have resulted.

b. To do this, each student will be asked to document his/her comments regarding the overall effectiveness of the course. The supervisor too will be requested to list what benefits the organization has realized because of the course. Your organization will be asked to send this copy to T&D so we can keep our knowledge up to date about which courses are helpful and which are not. Particularly, if a course was inappropriate, both you and our staff need to know to prevent the same mistake from being made again.

10-7. STEPS TO DEVELOP YOUR ORGANIZATION'S TRAINING PROGRAM. The following steps represent a short summary of the information presented above in a "by-the-numbers" format. Of course, this is only one suggested method of developing your training requirements; you can easily modify the overall approach to fit your specific needs and organizational structure.

a. Write down your organization's responsibilities, tasks, and functions by listing them all down on the left side of a long sheet of paper. Use your organizational and functions manual, job descriptions, plus consider your personal knowledge of the activity to identify all present and future responsibilities.

b. Match your staff against the list of responsibilities by placing your employees' names as column headings horizontally across the top of the long sheet. At the intersection of each name and task, make a mark indicating the relationship between the two. Use your own symbols to indicate how well each employee performs these tasks. For example, have one symbol to indicate that he/she could perform the task but it's not part of the job; another symbol to say that he/she does not and cannot perform the task, and so on.

c. Identify training requirements by reviewing each row to determine if each task is adequately covered now or in the future. Where weaknesses are identified, schedule training to cover them. The end product at this point should be a list of employees, each with his/her associated training needs over the next year or so.

d. Coordinate training needs with your training coordinator to identify appropriate schools, courses, etc. Eventually, your end product will be a list of employees with specific courses or lessons associated with each name. Discuss your decision with your employee(s) and decide when they will take the training.

e. Assign priorities to identified schools and courses and include in the employee's Individual Development Plan section of the employee performance appraisal. Submit this data on the Annual Training Needs Survey. Your proposal will be reviewed and approved courses will be compiled in the annual Civilian Training Plan published by the T&D Branch.

f. Incorporate the approved training program into your annual budget submission.

g. Submit a DD Form 1556 for each funded course and attendee in a timely manner. Remember that nonGovernment training must be approved by the T&D Branch before the employee enrolls or participates in such training.

h. Evaluate the success of the training by completing copy 9 of the DD Form 1556 and noting how much the training has benefited the employee and the organization.

CHAPTER 11

LABOR RELATIONS

11-1 OBJECTIVES

- a Understand the Federal Labor Relations Program.
- b. Know the supervisor's/manager's role and obligations in the day-to-day administration of a negotiated agreement with a labor organization (union).

Use the resources available to discharge your labor relations responsibility.

11-2 INTRODUCTION.

a. The Civil Service Reform Act made significant changes in the Federal Labor Relations Program. The basic regulations relating to labor relations are now based upon law rather than Executive Order. The basic purpose of the Federal Labor Relations Program is to provide a system for reconciling the management needs of agencies with the employees' desires to have a "say" in determining their conditions of employment and for resolving differences and disputes that arise in the process. The law asserts that labor organizations and collective bargaining in the Civil Service are in the public interest, and establishes labor relations procedures to meet the special requirements and needs of the Federal Government.

b. It is the policy of the Department of the Army and this installation that all managers, supervisors, and employees, both civilian and military, demonstrate a willingness to carry out the requirements of the laws, OPM and DA regulations, and negotiated contracts. The basic regulations relating to labor relations are contained in FPM 711 and AR 690-700, Chapter 711. Managers and supervisors should seek the advice and assistance of the Management Employee Relations Branch regarding any areas of the Labor Relations Program about which they are unsure and/or prior to taking any action which could affect employees' working conditions.

c. All parties must remember that labor relations is a relationship of equals. Regardless of the positions occupied by local union officials in the organizational structure, when they consult with management officials on employee management relations matters, the relationship is that of equals. Both parties to the discussion have rights under the law to present their views, and both parties have the obligation to objectively consider the views of the other party.

11-3. UNION/MANAGEMENT RIGHTS AND RESPONSIBILITIES

a. All Federal employees have the right to join or not to join a union without coercion or fear of reprisal. However, managers and supervisors may not participate in the management of a union, act as a representative of a union, nor be on payroll deduction for dues.

b. The exclusive union is the sole spokesman for the employees it represents with regard to conditions of employment affecting them generally. The union also has the right and responsibility to negotiate contracts, to assist in contract administration, and to represent employees who file grievances against the agency under the negotiated grievance and arbitration procedures. The union has the right to be present when a management representative talks to an employee in connection with an investigation if the employee reasonably believes a disciplinary action may result and if the employee requests representation. Additionally, the union has the right to be notified of and to be present at formal meetings with employees in the bargaining unit concerning grievances, personnel policies and practices, and/or conditions of employment.

c. Management has the right to set the mission, budget, organization, number of employees, and internal security practices. Management has the right to assign duties to positions, establish performance standards, hire, fire, select, discipline, detail, and otherwise direct employees in the performance of assigned rights, but the procedures and impact on employees must be negotiated if the union requests such negotiations. Also, OPM, DoD, and/or DA may issue new or revised regulations which must be followed. However, the union must be notified of these new/revised regulations and the proposed local procedures to be used to implement the regulations. The procedures must be negotiated if the union requests such negotiations. All management officials should know both their contract obligations and their management rights. You, as managers or supervisors, should use your rights, but use them considerately and properly. Questions concerning the appropriate action(s) in a particular situation should be

referred to the Management Employee Relations Branch. Beware of incorrect contract interpretations which may set harmful and costly precedents that may prove difficult to overcome. Ask what to do if unsure.

11-4. UNFAIR LABOR PRACTICES.

a. The law prohibits certain action by both management and union officials. These actions are called "unfair labor practices." The independent Federal Labor Relations Authority resolves negotiability questions and unfair labor practice complaints. Both parties should try to conduct themselves in such a manner as to avoid such complaints and the possible consequences of being judged guilty of committing an unfair labor practice.

b. Management may not:

- (1) Interfere with, restrain, or coerce employees in exercising their rights under the labor relations program.
- (2) Encourage or discourage union membership.
- (3) Sponsor, control, or assist a labor organization.
- (4) Discipline or otherwise discriminate against employees for filing a complaint or a petition for testifying.
- (5) Refuse to consult or negotiate in good faith.
- (6) Fail or refuse to cooperate in negotiation impasse procedures or decisions.
- (7) Enforce a rule which conflicts with the collective bargaining contract, if the contract was in place before the rule was issued. The procedures and impact of implementation must be negotiated.
- (8) Fail or refuse to comply with any provision of the Federal labor relations law.

c. Union officials may not:

- (1) Interfere with, restrain, or coerce employees in exercising their rights.
- (2) Cause or attempt to cause management to discriminate against employees in exercising their rights.
- (3) Coerce, punish, or attempt to take reprisal against a union member to hinder work performance or productivity.
- (4) Discriminate in regard to membership and/or in representing employees based upon membership or nonmembership in the union.
- (5) Refuse to consult or negotiate in good faith.
- (6) Fail or refuse to cooperate in impasse procedures or decisions
- (7) Call, participate in or condone a strike, work stoppage, shutdown, or picketing which interferes with an agency's operations.
- (8) Fail or refuse to comply with any provision of the Federal labor relations law

11-5. WORKING WITH THE NEGOTIATED AGREEMENT.

a. Each bargaining unit at Fort Sill is covered by a negotiated agreement with the Exclusive Representative. Effective labor relations is a supervisor's responsibility and you, the supervisor, more than anyone on the management side, are responsible for the day-to-day implementation of the agreement and for making the agreement work. Therefore, it is extremely important that you know the agreement and what each article means.

b. Your role in regard to the agreement began the date it was approved and continues as long as the agreement is in effect. This means you will deal on a daily basis with the union steward and employees. You will be the first person contacted by the steward for information on various personnel subjects covered by the agreement. For example, work schedules, annual and sick leave, promotions, disciplinary actions, safety, training--these are a few of the personnel matters the steward may ask about.

c. Alleged violations of the agreement by either management or the union are grievances. Each agreement contains an article which outlines the procedure the parties will use in settling the alleged violations or disagreement. The terminal step of any grievance procedure is arbitration. Chronic or blatant violations of the agreement may, under certain circumstances, be considered an unfair labor practice.

11-6. HANDLING GRIEVANCES. Title VII of the Civil Service Reform Act of 1978 and all locally negotiated agreements define a grievance as "any complaint by any employee concerning any matter relating to the employment of the employee or by any labor organization concerning any matter relating to the employment of any employee, or by any employee, labor organization, or agency concerning the effect or interpretation, or claim of breach of a collective bargaining agreement or any claimed violation, misinterpretation, or misapplication of any law, rule, or regulation affecting conditions of employment." It is Fort Sill and Department of Army policy that grievances be resolved, when possible, informally and at the lowest possible level. In resolving grievances, you may wish to obtain information regarding previous settlements of similar grievances and/or previous contract interpretations. The labor relations specialist in DCP can assist you in providing this information.

11-7. SUMMARY. Title VII changes the nature of Federal labor relations and presents bold challenges for management and you, the supervisor, the key person in day-to-day personnel management. Such features as judicial review and subpoena powers, an expanded scope of bargaining, and the employee's right to representation make labor relations a factor in the supervisor's job which cannot be ignored. You must exhibit professionalism in dealing with unions and employees. Most importantly, you should freely use the resources of labor relations specialists to help you avoid many problems and solve those that are unavoidable.



CHAPTER 12

EQUAL EMPLOYMENT OPPORTUNITY PROGRAM

12-1. GENERAL. Employment practices in the Department of the Army and at Fort Sill will demonstrate full adherence to the letter and spirit of Federal Government policy guaranteeing equal employment opportunity to all persons without regard to age, race, religion, sex, color, national origin, or handicap. A handicap cannot preclude employment as long as disabilities are unrelated to abilities to perform the duties of position and employment will not constitute a hazard to the employee, fellow employees, or property. Members of minority groups will receive full and impartial consideration for initial employment; possess equal standing and security as Army employees; and enjoy equal opportunity to receive training, to develop skills, and to advance from a job and career standpoint. Activities, facilities, services, and training programs operated, sponsored, or participated in by this installation will be made available to employees without segregation or discrimination based on race, religion, color, sex, age, national origin, or handicap.

12-2. DISCRIMINATION COMPLAINTS. Individuals who believe they have been subjected to discrimination in the above matters may use the complaint procedures prescribed by USAFACFS Regulation 690-22 without fear of coercion or reprisal. Employees may contact either the EEO Office or any EEO counselor for assistance and/or additional information. The names and phone numbers of the EEO officer and counselors are listed on EEO posters posted on all official bulletin boards. Complaints will be impartially investigated or adjudicated, and, as warranted, adjusted with all due consideration by officials concerned. Action will be expedited at all levels.

APPENDIX A

CLASSIFICATION FACTORS

THESE THINGS DO COUNT

Nature and variety of work

Difficulty of the work

Authority and responsibility

Supervisory controls over work

Skills and knowledge required

Guidelines

Physical demands

Working conditions

THESE THINGS DON'T COUNT

Personality	Average grade ceiling
Length of service	High grade ceiling
Volume of work	Grade of positions at other installations
Quality of work	Recruiting difficulties
Unusual qualifications	Serving in the absence of .
Unusual diligence or overtime worked	Value of employee to organization
Probable loss of employee to another job	Pay rates of subordinate employees
Financial need	Rank/grade of personal contacts
Outstanding or unsatisfactory performance	Military rank of subordinates or supervisor
Dollar value of items/projects	Minimum grade levels stated in regulations
Economy in community	Grade levels stated in TDA

APPENDIX B

THE MANAGER'S POSITION MANAGEMENT RESPONSIBILITIES

Under the policies and principles mentioned previously, the manager must--

- a. Avoid organizational fragmentation and unnecessary supervisory layering
- b. Not allow employees to spend significant time on work which is graded below their official grade level.
- c. Minimize dead-end jobs and establish a pattern of positions which will support career progression and upward mobility and achieve affirmative action goals.
- d. Identify and drop marginal activities; avoid workload imbalance among subordinate units or positions and assure full position workload (100% of work hours devoted to essential function).
- e. Broaden or combine job descriptions when cost-effective or when needed to provide flexibility of assignment.
- f. Support use of supplemental part-time, temporary, and intermittent personnel in order to reduce labor costs and conserve full-time spaces.
- g. Maintain a balanced proportion of senior level, journeyman, helper, and supportive skills, and reasonable proportion of trainees to meet estimated replacement needs.
- h. Clearly delineate work assignments and job-to-job relationships to avoid overlap and duplication.
- i. Ensure sound use of grade levels to attain a structure that will lower or at least stabilize rather than increase payroll costs and average grade.

The proponent of this pamphlet is the Training and Development Branch, Directorate of Civilian Personnel. Users are invited to send comments and suggested improvements to the Chief, Training and Development, ATTN: ATZR-XPT, Directorate of Civilian Personnel, Fort Sill, OK 73503-0308.

(ATZR-XP)

FOR THE COMMANDER:



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